

Form PTO-1449 U.S. Department of Commerce  
(Rev. 8-83) Patent and Trademark OfficeAtty. Docket No.:  
47004.000086Serial No.:  
09/761,763

#4

## INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Applicant:  
Kevin M. SULLIVANFiling Date:  
January 18, 2001Group:  
Not Assigned

AN 3622

## U.S. PATENT DOCUMENTS

Examiner Initial*	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)
DL	3,634,669	7/69	Soumas et al.			
DL	4,594,663	6/86	Nagata et al.			
DL	4,642,768	2/87	Roberts			
DL	4,750,119	6/88	Cohen et al.			
DL	5,117,355	5/92	McCarthy			
DL	5,206,803	4/93	Vitagliano, et al.			
DL	5,233,514	8/93	Ayyoubi et al.			
DL	5,297,026	3/94	Hoffman			
DL	5,466,919	11/95	Hovakimian			
DL	5,513,102	4/96	Auremma			

## FOREIGN PATENT DOCUMENTS

Document Number	Date	Country	Class	Subclass	Translation Yes No

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

DL	U.S. Application No. 09/364,037, inventor Kevin M. Sullivan, entitled, "SYSTEM AND METHODS FOR CARD PAYMENT INSTRUMENT WITH REBATE APPLIED TO AN INSURANCE PREMIUM," filed July 30, 1999 (and currently copending with the above-captioned application).
DL	U.S. Application No. 09/511,362, inventor Kevin M. Sullivan, entitled, "MUTUAL FUND CARD METHOD AND SYSTEM," filed February 23, 2000 (and currently copending with the above-captioned application)
DL	Declaration of Kevin M. Sullivan in Support of Information Disclosure Statement, with accompanying exhibits (labeled Exhibits A and B), dated 26 February 2001.
DL	Discover Card website printout, two pages, accessible at << <a href="http://www.discovercard.com/">http://www.discovercard.com/</a> >>, accessed 1999.
DL	E*Trade website printout, four pages, accessible at << <a href="http://www.etrade.com/">http://www.etrade.com/</a> >>, accessed Nov. 2000.

Examiner:

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DL	5,774,870	6/98	Storey			
DL	5,787,404	7/98	Fernandez-Holmann			
DL	5,806,045	9/98	Biorge, et al.			
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DL	6,105,865	8/00	Hardesty			
DL	6,070,153	5/00	Simpson			

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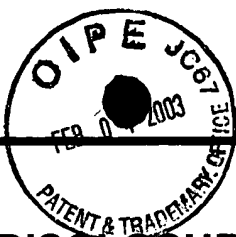
Document Number	Date	Country	Class	Subclass	Translation Yes No

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Application Number 09/761,763

Filing Date January 18, 2001 #8

First Named Inventor Kevin Sullivan

Art Unit 3622

Examiner Name Unassigned

Sheet 1 of 4

Attorney Docket Number 47004.000086

**U.S. PATENT DOCUMENTS**

*Examiner Initials	Cite No.	DOCUMENT NUMBER Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
DLV	1.	US- 20020062253	05/23/2002	Dosh, Jr. et al.	
DLV	2.	US- 20020072412	06/13/2002	Young et al.	
DLV	3.	US- 6345261	02/05/2002	Feidelson et al.	
DLV	4.	US- 6386444	05-14-2002	Sullivan	

**RECEIVED**  
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GROUP 3600**FOREIGN PATENT DOCUMENTS**

*Examiner Initials	Cite No.	FOREIGN PATENT DOCUMENT		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	TRANSLATION	
		Country Code:	Number - Kind Code (if known)				YES	NO
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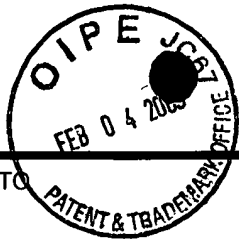
**NON-PATENT LITERATURE DOCUMENTS**

*Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	TRANSLATION	
			YES	NO
DLV	6.	CardEx Incentives, 4/6/99, www.cardexco.com		
DLV	7.	"Associates First Capital Corporation", Hoover's Inc., The Industry Standard: The Newsmagazine of the Internet Economy, thestandard.net/companies/cmpmpany-display, 4/6/99		
DLV	8.	JEFFREY M. LACKER, "Stored Value Cards: Costly Private Substitutions for Government Currency", Economic Quarterly, 1996 Vol. 82, n. 3, p. 1(25), Summer 1996		
DLV	9.	"The Evolution of a New Consumerism" Chain Store Age, Vol. 73, pp. 8-9, June 1997 supp.		

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Application Number	09/761,763
Filing Date	January 18, 2001
First Named Inventor	Kevin Sullivan
Art Unit	3622
Examiner Name	Unassigned
Attorney Docket Number	47004.000086

Sheet	2	4
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## NON-PATENT LITERATURE DOCUMENTS

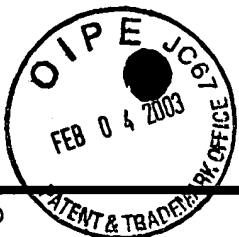
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Application Number 09/761,763

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Art Unit 3622

Examiner Name Unassigned

Sheet

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Attorney Docket Number 47004.000086

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23. ~~First USA Platinum Connect, First USA Bank, First USA Promotional Mailing, 10/97~~24. ~~Introducing the First USA Platinum Connect Card, First USA Promotional Mailing, 12/97~~25. Here's the calling convenience you asked for: 1-800-call-AT&T....For All Calls, Appendix A: For Card Carriers, *undated*.26. ~~Beth Piskora, Debit Cards Seen Poised for New Markets, American Banker, pp. 16, 03/07/95~~

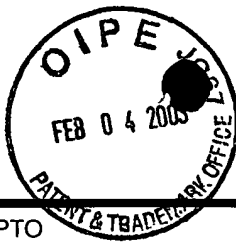
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Attorney Docket Number 47004.000086

Sheet

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**NON-PATENT LITERATURE DOCUMENTS**

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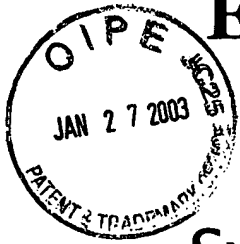
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# Electronic Information Disclosure Statement

*Proposed*  
*1D*

## System and method for administering a brokerage rebate card

Application:   
09/761763

Confirmation: 5922

Applicant(s): Kevin Sullivan

Docket  
Number: 47004.000086






Group Art  
Unit: 2161

Examiner:

search string: (3946206 or 4047033 or 4545838 or 4750119 or 4831242 or 4897533 or 4978401 or 5095194 or 5117355 or 5175416 or 5192947 or 5202826 or 5326960 or 5397881 or 5424524 or 5450477 or 5465206 or 5471669 or 5477038 or 5482139 or 5500514 or 5530232 or 5578808 or 5585787 or 5637845 or 5703344 or 5710886 or 5721768 or 5765141 or 5777305 or 5787404 or 5857079 or 5857709 or 5864830 or 5870718 or 5926800 or 5955961 or 5991750 or 6016954 or 6038552 or 6036099 or 6243688 ).pn.

### US Patent Documents

**Note: Applicant is not required to submit a paper copy of cited US Patent Documents**

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
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<i>OK</i>	P02	4047033	1977-09-06		Malmberg		
<i>OK</i>	P03	4545838	1985-10-08		Minkus		
<i>OK</i>	P04	4750119	1988-06-07		Robertson		
<i>OK</i>	P05	4831242	1989-05-16		Englehardt		

*Handwritten notes and signatures:*  
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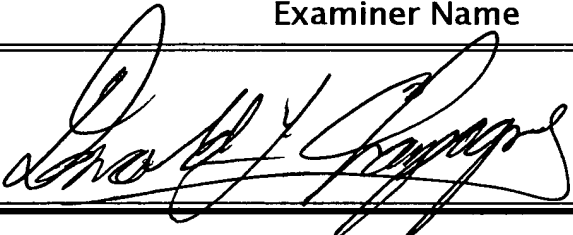
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DLT	P36	5926800	1999-07-20		Baronowski
DLT	P37	5955961	1999-09-21		Wallerstein
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DLT	P41	6036099	2000-03-14		Leighton
DLT	P42	6243688	2001-06-05		Kalina

### Signature

Examiner Name	Date
	3-13-08